



Issuance Date: December 30, 2011
Closing Date: February 29, 2012
Closing Time: 4:00 pm local Bangkok, Thailand time

Subject: USAID-Vietnam-RFA-486-12-007
Program of Comprehensive and Integrated Support to People with Disabilities

The United States Agency for International Development (USAID), is seeking applications (proposals for funding) from U.S. or non-U.S. non-governmental organizations (NGOs) and/or consortia for a comprehensive and integrated disability program. USAID/RDMA is issuing a request for applications (RFA) for a three-year cooperative agreement. Please refer to the Program Description (RFA section I) for a complete statement of goals and expected results. The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

Subject to the availability of funds, USAID/RDMA plans to award one cooperative agreement, but reserves the right to make multiple awards. The total estimated amount is approximately \$9 million for a program not to exceed three years (from on or about July 1, 2012 – June 30, 2015). USAID reserves the right to fund any, a portion of, or none of the applications submitted.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the program and are in accordance with applicable cost standards (22 CFR 226, plus OMB Circular A-122 for non-profit organizations and OMB Circular A-21 for universities, and the Federal Acquisition Regulation Part 31 for for-profit organizations), may be paid under the award.

For the purposes of this Program, this RFA is being issued and consists of this cover letter and the following:

1. Section I Funding Opportunity Description;
2. Section II Award Information;
3. Section III Eligibility Information;
4. Section IV Application and Submission Information;
5. Section V Application Review Information;
6. Section VI Award and Administration Information;
7. Section VII Agency Contacts; and
8. Attachments Representations and Certifications

To be eligible for award, the Applicant must provide all required information in its application, including the requirements found in any attachments to this www.Grants.gov opportunity. Applicants must submit the full application package by one of the methods indicated in Section I of this RFA.

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

Any questions concerning this RFA shall be submitted in writing to Paul Seong, Assistance Specialist, via email to aseong@usaid.gov and Ms. Karittha Jenchiewchan, Assistance Specialist, via email to kjenchiewchan@usaid.gov and copied to Mr. Patrick Wilson at pwilson@usaid.gov by no later than January 17, 2012, 4:00 pm Bangkok time. If you decide to submit an application, it must be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications.

The federal grant process is now web-enabled. As of December 19, 2005, grant and cooperative agreement Request for Application (RFA) and Annual Program Statement (APS) announcements, modifications to the announcements, and the corresponding application packages must be posted via Grants.gov online to allow for electronic submission of applications. Applicants may upload applications to www.grants.gov; however, hard copy submissions are still required by USAID/RDMA. This RFA and any future amendments can be downloaded from this website www.grants.gov. It is the responsibility of the Recipient of the application document to ensure that it has been received from www.grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

Applicants must also submit their applications by e-mail attachment formatted in Microsoft Word (up to 2 MB limit per email), with hard copies by the due date. Important: please see Section IV of the RFA for detailed instructions regarding submission of applications via email. Applications and modifications thereof shall be submitted with the name and address of the Applicant and the RFA number (referenced above) inscribed thereon, via email, to aseong@usaid.gov and kjenchiewchan@usaid.gov and copied to pwilson@usaid.gov.

Applicants shall confirm with Paul Seong that their electronic submissions (either via grants.gov or via email) were successfully received by the required due date. In addition to the submission of applications via email or www.grants.gov, an original and four (4) hard copies of the technical applications, and an original and one hard copy of the cost proposals, shall be sent to:

Patrick Wilson
Regional Office of Procurement
US Embassy Thailand
Box 47 (USAID)
APO, AP 96546

Or

Patrick Wilson
USAID/Regional Development Mission Asia
Regional Office of Procurement
Athenee Tower, 25th Floor, Room 2406
63 Wireless Road, Lumpini, Pathumwan
Bangkok 10330, Thailand

Hard copies of submissions must arrive by the due date. It is recommended that Applicants use courier service instead of international mail for the hard copies. Applications will be accepted for consideration as long as they arrive in Bangkok, Thailand by the time stipulated. See RFA Section IV regarding late applications.

Applicants are requested to submit the technical and cost portions of their applications in separate volumes so that they may be reviewed separately. Award will be made to that responsible Applicant(s) whose application(s) best meets the requirements of this RFA and the selection criteria contained herein.

Faxed proposals are not acceptable.

Issuance of this RFA does not constitute an award commitment on the part of USAID, nor does it commit USAID to pay for costs incurred in the preparation and submission of an application. Further, USAID reserves the right to reject any or all applications received. In addition, final award of any resultant cooperative agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential Applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the Applicant, and all preparation and submission costs are at the Applicant's expense.

In the event of any inconsistency between the sections comprising this RFA, it shall be resolved by the following order of precedence:

- (a) Section V Application Review Information
- (b) Section IV Application and Submission Information
- (c) Section I Funding Opportunity Description
- (d) This Cover Letter

Applicants should take into account the expected delivery time required, and are responsible to ensure that the electronic copies are sent to the right email address and the hard copies of the proposals are received at USAID/RDMA, (and not at another location) by the due date and time specified above.

Applicants should retain for their records one copy of all enclosures which accompany their application.

Thank you for your interest in USAID programs and activities.

Sincerely,

/s/

Patrick Wilson
Regional Agreement Officer
USAID/RDMA, Bangkok

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SECTION I: FUNDING OPPORTUNITY DESCRIPTION

1. Program Overview

USAID/Vietnam proposes a comprehensive and integrated disability program that will build on the accomplishments of the previous USAID assistance to people with disabilities (PWD) living in communities in Danang, as well as include additional relevant public health activities.

The geographic focus of the next phase of the disabilities program will be primarily Danang, and to some extent other areas, proposed by the Recipient, where there is a high disability burden, the need is greatest, and in regions where dioxin hot spots are located. The program will also include health assessments for the two major hot spots - Bien Hoa and Phu Cat - and follow-on activities as a result of the assessments. The activities outside Danang will not exceed 30% of the total expected funding.

The new program will continue efforts towards a comprehensive and integrated approach to addressing the needs of disabled populations. This USAID program will support the implementation of the Danang provincial disability plan that is derived from the national disabilities law. The Recipient will work with the respective departments in Danang responsible for carrying out the provincial plan of action, ensuring that there is government ownership of providing services for their own disabled population. As Danang is the furthest along in the implementation of the disabilities law and provision of social services, best practices and lessons learned there will be considered for replication as appropriate, to other agreed upon areas.

The focal point on the side of the Government of Vietnam will be the Danang People's Committee of Vietnam and the People's Committees in the other areas selected for program activities. The aim of the program is to develop a set of comprehensive and integrated activities that can be replicated throughout Vietnam for improving the lives of people with disabilities. The model program will use a case management approach as its foundation and social workers as the core of an effective referral system so as to ensure continuum of care for individuals in medical, educational, social and economic services.

The proposed program will:

- 1) Contribute to strengthening effective case management and service referral system for people with disabilities;
- 2) Improve the quality and access of specialized services in prevention, treatment, education, employment/livelihoods and social service;
- 3) Enhance relevant public health services to improve the population-based birth defect, post-natal newborn screening and cancer surveillance systems, and strengthen pre-pregnancy (pre-conception) services;
- 4) Conduct needs assessments in Phu Cat and Bien Hoa and expand the integrated model from Danang to other selected locations. Activities will be coordinated with the People's Committees's efforts to implement the Government of Vietnam's Law on Disability.

The Program is intended to improve the quality and effectiveness of the disability service system. It will support a network of social workers as case managers to guide people with disabilities through a referral system of specialized services, such as medical rehabilitation, education, social and economic support, that addresses the individual needs of each identified person with disability. The other two program components include direct service provision for people with disabilities and a public health component. The direct service provisions will include prevention, education, medical treatment and rehabilitation, economic livelihoods, and social inclusion. USAID recommends that at least forty percent (40%) of the program's funding be dedicated for direct assistance to PWDs (examples of direct assistance to PWDs include corrective surgeries, assistive devices, scholarships and other educational assistance, job training, livelihood assistance, home improvement, etc.). The public health activities consist of developing a population-based birth defect surveillance system and intervention activities focused on children born with external/observable major structural birth defects for which there are existing interventions for improved health outcomes; evaluating and strengthening the Vietnamese post-natal newborn screening and service referral

program; assessment of pre-pregnancy (or pre-conception) services; and, developing a population-based cancer surveillance system in the region of Danang. The program builds upon previous USAID assistance programs in Danang that introduced a comprehensive service model for people with disabilities.

To increase sustainability, the Program will also build the capacity of Vietnamese local institutions that receive sub-grants from the prime organization. This can include strengthening the organizational and/or financial capacity. Illustrative activities can include a baseline analysis of the local sub-awardee's capacity with respect to technical ability, program management, financial management, procurement, monitoring & evaluation, grant writing ability and general administrative systems. With a baseline, specific targets would be integrated into the annual work plan, with measurable and reportable results. The targets would be adapted to the needs of the local NGO(s).

Program success will be largely influenced by (1) identifying program goals that can be realistically achieved, (2) sound program implementation and local GVN support in Danang and other areas, (3) qualified organizations with the needed technical and managerial expertise are selected to carry out the program, and (4) close oversight is maintained by USAID.

2. Background

In 2008, USAID/Vietnam engaged in a competitive procurement process to award grants to US NGOs capable of designing and implementing model projects to provide support to people with disabilities in Danang, regardless of cause. USAID provided grants to three US NGOs in separate grants, each to address different components to meet the needs of people with disabilities and their families. Vietnam Assistance for the Handicapped (VNAH) focused on rehabilitation services and socio-economic support; East Meets West's (EMW) primary effort was to facilitate medical rehabilitation, including establishing a network of community based rehabilitation centers; and Save the Children (SC) worked to empower people with disabilities through increased economic opportunities and services.

The overall goal of the USAID/Vietnam-supported program, Strengthening Services for the Disabled in Danang and Surrounding Areas, was providing comprehensive medical and social rehabilitation services for people with disabilities, responding to health, education, livelihood, and social integration needs.

3. Program Framework

The aim of this three-year (estimated to be July 2012 – June 2015) Program of Comprehensive and Integrated Support to People with Disabilities, is to provide assistance that comprehensively addresses the needs of people with disabilities through a case management methodology that will assist people in navigating through an improved system of specialized services, and enhance the available surveillance data that can be used to inform public health officials to identify and address the most prevalent forms of disability. The geographic focus of the next phase of the disabilities program will be primarily Danang, and to some extent other areas where there is a high disability burden, the need is greatest, and in regions where hot spots are located. The program will also include health assessments for the two major hot spots - Bien Hoa and Phu Cat and follow-on related activities as a result of the assessments. The activities outside Danang will not exceed 30% of the total expected funding.

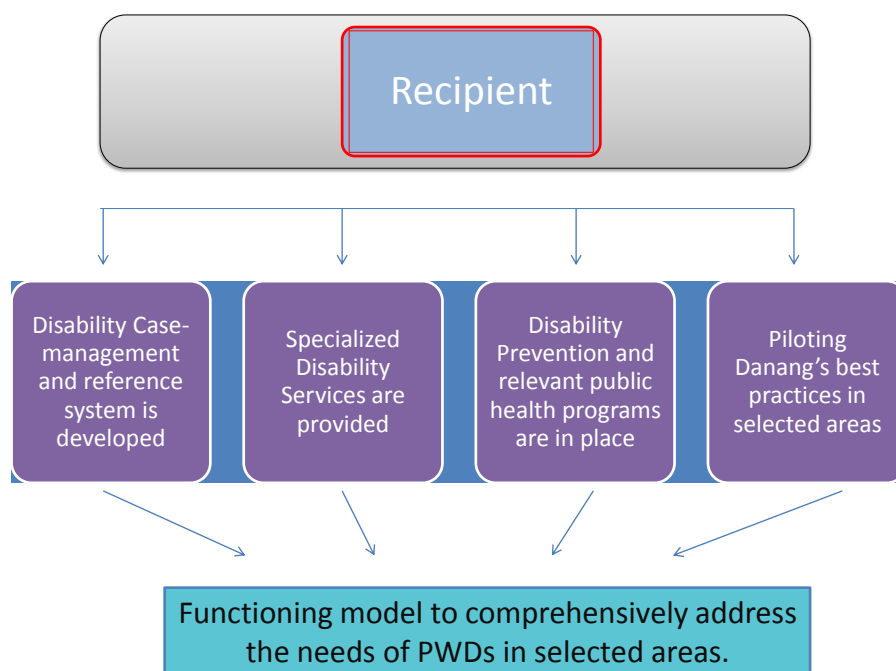
USAID invites applications that 1) creatively address the method for developing a case management system for improved services for people with disabilities in the Danang area in accordance with the Provincial Disability Action Plan, 2) indicate how the challenges described in the Problem Statement, Section III, will be managed and 3) demonstrate how the program will contribute to the achievements of objectives and results in the USAID/Vietnam's Draft Improved Health of the People of Vietnam Strategy (2010-2014).

Applicants must propose a program that comprehensively includes all the following expected results under one prime awardee with appropriate arrangements for sub-awards to fully address the required technical interventions. This approach will make more efficient use of the limited resources available to address the large issues facing people with disabilities in Danang and allow for improved coordination with the Government of Vietnam, and responsiveness to inquiries from the U.S. Congress and GVN Office 33. The establishment of public-private partnerships and leveraging of other donor contributions are highly encouraged.

USAID/Vietnam plans to award a separate agreement with U.S. Center for Diseases Control and Prevention (U.S. CDC) to provide technical assistance for public health related activities (birth defect surveillance, post-natal newborn screening and cancer surveillance). USAID encourages collaboration and coordination between the Recipient and CDC in this effort. The separate agreement will provide funding for U.S. CDC to offer technical expertise to the program.

The proposed program must clearly define a transition strategy and identify what will remain at the end of the program which will work toward sustainability and replication in other areas where there is a high disability burden, the need is greatest, and in regions where hot spots are located. The program will also include health assessments for the two major hot spots - Bien Hoa and Phu Cat and related activities. The activities outside Danang will not exceed 30% of the total expected funding.

The Program framework is set out below.



3.1 Goals and Objectives

The goal of the Program is to comprehensively address the needs of people with disabilities through a case management methodology that will assist people in navigating through an improved system of specialized services, and enhance the available surveillance data that can be used to inform public health action to identify and address the most prevalent forms of disability in the Danang and be replicated to other selected areas.

The Program aims to achieve its goal by realizing the following objectives:

Objective 1: Effective disability case management/social work and a comprehensive referral system implemented in Danang using an approach that is sustainable and replicable to other hot spots.

Objective 2: Improved quality and access of specialized services for PWD.

Objective 3: Improved relevant public health services (population-based birth defects surveillance, post-natal newborn screening, pre-pregnancy services and cancer surveillance.

Cross-cutting Objective 4: Expand implementation of the Program of Comprehensive and Integrated Support to People with Disabilities to selected areas.

3.2 Guiding Principles

- ✓ **Strengthening the capacity of local governments through technical partnerships.** USAID will support the approaches that best achieve a sustainable and replicable model that comprehensively addresses the needs of people with disabilities through the provision of integrated services.
- ✓ **Public-private partnerships in the program is desirable.** Applications, when appropriate, should have an overall management strategy for reaching out to local businesses and community organizations.
- ✓ **Program should be participatory.** Applicants should discuss how the program will incorporate the equitable and active involvement of stakeholders in all stages of program design and implementation. **Participation of PWDs in the planning, executing, monitoring and evaluation of the program is vital.**
- ✓ **Strengthen in-country capacity.** To magnify the impact of technical assistance and to increase sustainability of results, strengthening in-country capacity is key. Institutional strengthening may be needed for both government and non-government organizations. This can be accomplished through by conducting a baseline analysis of the organization's capacity and then providing technical assistance to strengthen its technical and administrative capacity to implement and manage programs. Grants to host-country organizations or local organizations, which may be coupled with technical assistance, may be useful in this regard. When strong country organizations are present, significant oversight and technical aspects should be transferred to them.
- ✓ **Coordination and collaboration:** The applicant must demonstrate a clear strategy to collaborate and coordinate proposed activities with the various organizations supporting PWDs in Danang.
- ✓ **Cost efficiency will be achieved.** Cost efficiency will play a significant role in the selection decision.
- ✓ **Documentation and dissemination of lessons learned and best practices are vital to the field of development, both for donors and other municipalities of other hot spots.** A successful application will detail how lessons learned from the program will be captured and disseminated to all stakeholders and interested parties. Innovative use of existing venues, such as but not limited to websites, databases, newsletters, is encouraged. Although new and interesting approaches are welcome, applicants should not place an unduly large emphasis on developing new techniques for documentation and dissemination.
- ✓ **Program activities must be results-oriented.** Since the goal of the program is to develop a comprehensive and integrated model of services for PWDs, regardless of cause, the application should articulate the expected concrete results to be achieved and how program impact will be achieved and evaluated.
- ✓ **Political commitment from the local government is vital.** Applicants should discuss how political commitment from local government will be secured.

3.3 Expected Results and Key Indicators

USAID seeks applications for a program that will produce specific and measureable results in the targeted area, identified as follows:

Objective 1: Effective disability case management/social work and a comprehensive referral system implemented in Danang using an approach that is sustainable and replicable to other hot spots.

The Recipient will implement a program that delivers services using a comprehensive, holistic approach, centered on people with disabilities and their family situation, and applies MOLISA's National Framework on Social Work Development as a guiding document which is attached in the annex 1.

The Recipient will develop a referral system, to include policy development, through close collaboration and coordination with all relevant governmental departments that will be used by the DOLISA staff to coordinate needed services for people with disabilities in their respective geographic area. The referral system will be developed using an approach that includes a transitional strategy and ensures it continues to be functional after USAID support has ended. The Applicant should demonstrate that the proposed program is line with the National Framework on Social Work Development, and supports the Danang Provincial Action Plan, and incorporates the experience of the previous three implementing partners

Expected Results

- A force of professional Social Worker and Case-Managers is developed
- A multi-disciplinary referral system developed and functioning
- Supporting policies developed and promoted

Objective 2: Improved quality and access of specialized services for PWD.

The Recipient will work with and through existing structures, including partnerships with local institutions and other donors to develop capacity and local expertise and provide direct services in prevention, health, income generation, education, and social inclusion through improving the existing structures. The Recipient will make enhancements to these specialized services and ensure that they are networked with the case management referral system. A quality assurance component will be incorporated to ensure the quality of the services.

Expected Results

1. Specialized quality medical rehabilitation services are available and accessible to PWD (applicants are requested to provide information on specific disability specialized services responding to the needs of PWDs in Danang)
2. Increase school enrollment of children with disabilities in Danang by 20%
3. Employment rate among PWD increased by 20% from baseline.
4. An assessment of pre-pregnancy health care visits and corresponding activities implemented resulting in strengthened services delivered to women in Danang
5. Supportive policies are in place and promoted (barrier-access, anti-discrimination, transportation) in accordance with the Law on Disability

Objective 3: Improved relevant public health services (population-based birth defect, post-natal newborn screening, cancer surveillance systems, and pre-pregnancy (pre-conception) services.

The Recipient will strive to strengthen several surveillance systems in Danang to include birth defects surveillance, post-natal newborn screening, and cancer surveillance. Additional information on performance activities, measures, and outcomes is available in the appendix.

Birth Defects Surveillance

Surveillance of birth defects in a population is vital for quantifying the public health impact of birth defects, monitoring trends, forming the basis for etiologic and clinical studies, evaluating prevention strategies and interventions, planning for services, and making informed policy decisions. The Recipient will develop a surveillance system with the following characteristics: 1) population-based for 25,000-50,000 live births per year in the Danang catchment area; 2) timely ascertainment of a select list of external/observable major structural birth defects (i.e., congenital malformations that require surgical or medical treatment or have a significant impact on health and development) such as neural tube defects and orofacial clefts; and 3) verification of the specific birth defects using various sources including photographs, medical records (e.g., hospitalization, autopsy) and/or laboratory reports (e.g., cytogenetic, molecular).

The intervention activities will focus on children born with external/observable major structural birth defects for which there are existing interventions for improved health outcomes. In addition, capacity will be built for public health action by engaging with stakeholders to develop an action plan for a pre-pregnancy (pre-conception) services program to prevent birth defects focusing on low cost, evidence-based prevention practices as well as a referral program to connect children to services in the region of Danang.

Expected Results

- A baseline assessment of the birth defects surveillance system in Danang with recommendations for system strengthening.
- A procedure manual for conducting population-based birth defects surveillance; development of a database for collecting demographic, clinical and diagnostic information; and data quality assurance.,
- A well-functioning population-based birth defect surveillance system that ascertains external/observable major structural post-natal birth defects diagnosed in the Danang catchment area by the end of the program's third year
- Development and implementation of an effective and quality referral/treatment and rehabilitation system for children with birth defects

Newborn Screening

The Ministry of Health has maintained several lists of disabilities, with guidance, that are required to be screened/detected at birth Vietnam has developed a national Newborn Screening (NBS) policy for congenital hypothyroidism (CH) and glucose-6-phosphate dehydrogenase deficiency (G6PD) for the north, central, and south Vietnamese regions which is included in national health insurance for all children under 6 years of age. Congenital Adrenal Hyperplasia (CAH) is also screened for in the south. NBS for metabolic disorders is available but families must pay for the testing.

USAID/Vietnam is looking for a program to develop Danang's capacity in post-natal early detection and intervention to decrease the severity of the disabilities. To accomplish this they will build the capacity of health personnel, introduce a public awareness program on post-natal newborn screening, and increase post-natal newborn screening for certain conditions.

Expected Results

- An assessment of the Central region's post-natal NBS program, with recommendations for a plan of action by the end of the first six months of the program.
- Plan of action for strengthening Central region's post-natal NBS system with a focus on Danang developed and implemented.
- An effective strategy adopted by Local GVN for developing & maintaining a population-based post-natal newborn screening surveillance system.
- An effective and quality post-natal newborn screening system to include long-term follow-up and treatment developed.

Pre-pregnancy (pre-conception) Services

Pre-pregnancy health services are important for the community in Danang.. The services include prevention and management of exposure to pollutants and contaminants, including dioxin (mainly through food contamination), in adolescent and young women, pre-pregnancy (pre-conception) nutrition education, providing low-cost and evidence-base measurements for preventing common health problems in mothers and infants in the Danang region and providing counseling/preparation on relevant issues before the pregnancy and for new-born care.

Danang has implemented a few public awareness campaigns for pre-pregnancy (pre-conception) education, however the scale has been unknown. The Recipient is expected to conduct a base-line assessment of the current pre-pregnancy (pre-conception) service system in Danang and implement a program to strengthen the service system.

Expected Results

- Assessment of the pre-pregnancy (pre-conception) health service system in Danang region with recommendations for a plan of action by the end of the first six months of the program.
- A strategy and a plan of action for strengthening Danang's pre-pregnancy (pre-conception) service system developed.
- Effective and quality pre-pregnancy (pre-conception) health services provided for Danang's citizens.

Cancer Surveillance and Prevention

In the past, Vietnam has had high-quality cancer registries (as determined by inclusion in the International Agency for Research on Cancer's (IARC's) Cancer Incidence in Five Continents publication), but none of the cancer registries in Vietnam met the criteria to be listed in the most recent version of the Cancer in Five Continents (vol. 9). There are currently 9 (hospital-based) registries in Vietnam (Hanoi, Hai Phong, Thai Nguyen in the north, Thanh Hoa, Hue, and Danang in the central part of the country, and Ho Chi Minh, Can Tho and Kien Giang in the southern parts of the country).

Cancer registration is defined as the continual, systematic collection of data on the occurrence and characteristics of reportable neoplasms to assess and control the impact of cancer on the community. Population-based registries, considered to be the gold standard in terms of data accuracy and completeness, collect information on all new cases of cancer within a defined population (typically populations living in a geographic area), over a given period of time. Background information on the population at risk is vital for population-based cancer registration; the availability of accurate and regularly published population data is important for population-based cancer registries. There is no optimal population size that a registry should cover, although in practice most operate covering a population of between 1 and 5 million persons, however this is not a firm rule, and represents general guidance. The area should be defined in terms of administrative boundaries which can be matched to patient's address and to the larger population at risk (typically from a census). The Program of Comprehensive & Integrated Support to People with Disabilities will expand the hospital-based registries in the Danang region to population-based registries over a three-year period. The Danang pilot program should be designed to allow for it to scale up nationally in the future. The Program of Comprehensive & Integrated Support to People with Disabilities will identify the appropriate stakeholders with whom to work to develop a population-based cancer registry in Danang.

Expected Results

- An assessment of the status (including strengths and weaknesses) of current registry operations in the Danang region by the end of the first six months of the program.
- A well-functioning population based cancer registry that covers the majority of cancers diagnosed in the Danang catchment area (by the end of the program's third year).
- A procedure manual for conducting population-based cancer surveillance; development of a database for collecting demographic, clinical and diagnostic information; and data quality assurance, using existing or already developed software.

Cross-cutting Objective 4: Expand implementation of the Program of Comprehensive and Integrated Support to People with Disabilities.

To support Vietnam in their efforts toward addressing the needs of persons with disabilities, the Recipient will conduct disability sector assessments that include health, education, economic and social services in Bien Hoa and Phu Cat. The assessments will indicate the feasibility of replicating the program underway in Danang to include at a minimum the estimated number of direct and indirect beneficiaries, implementation time line, cost estimate, necessary technical assistance, input from the involved Ministries and People's Committee on the priority needs and ability of the program to meet those needs, and a mapping of all stakeholders and other donors active in the areas of health, education, income generation and disability. In addition, activities can be proposed in other areas beyond Danang, Bien Hoa and Phu Cat. Activities will be coordinated with the Provincial People's Committee's efforts to implement the Government of Vietnam's Disability Law.

Expected results

- Assessment report of Bien Hoa and Phu Cat completed and disseminated
- Program activities designed and implemented in Bien Hoa, Phu Cat and other areas proposed by the applicant to support the Law on Disabilities

3.4 Gender

Gender issues are central to the achievement of equitable and sustainable development outcomes, and USAID strives to promote gender equity, where both men and women have equal opportunity to benefit from and contribute to economic, social, cultural, and political development, enjoy socially valued resources and rewards, and realize their human rights (ADS 201.3.9.3).

The Recipient must mainstream gender equality into Program activities and address the underlying gender and sexuality related issues that drive the epidemic. This includes within the work of the Recipient, sub-implementing partners, and in conjunction with the national response through advocacy and empowerment. The Recipient must ensure that this Program has implementing partners that support community-based participatory approaches involving men and women and model effective means for addressing gender and sexuality based inequality, discrimination and violence.

USAID/Vietnam asks that the Applicant to consider the following two guiding questions in addressing gender issues:

1. Are men and women involved or affected differently by the context or work to be undertaken?
2. If so, how will this difference be addressed in order to manage for sustainable program impact?

Addressing these questions involves taking into account not only the different roles of men and women, but also the relationship and balance between them and institutional structures that support them.

4. Program Management and Reporting

4.1 Program Management

The Applicant must describe its proposed management and staffing plan, and it must be one that is capable of operating independently and supporting the program described in the application. The Applicant must demonstrate the management plan and the Applicant's ability to manage the activities to be carried out under the agreement, including lines of supervision, accountability, decision-making and responsibility among staff. This is a field-based program and it is the intent that the decision-making of this program be at the country level and not at the organization's HQ level.

Additionally, authority and involvement should be given to the various partners of the program management team. The Applicant must propose an overall staffing pattern that demonstrates the breadth and depth of technical expertise and experience required to implement this complex program. The staffing plan must demonstrate a solid understanding of key technical and organizational requirements and an appropriate mix of skills, while avoiding excessive staffing.

Key personnel should demonstrate state-of-the-art expertise in international standards. The Applicant must specify the composition and organizational structure of the entire program, the roles of staff and technical expertise. Applicants are encouraged to take advantage of local expertise as available and appropriate. The management plan must demonstrate how the Applicant will emphasize the use of in-country staff and resources. An organizational chart laying out essential positions for the organization itself and any partners on the management team must be included as an appendix.

The Applicant must provide a clear description of how the award will be managed, including the approach to addressing potential problems and challenges. The Applicant must outline which organization/partner will carry out the various activities specified in the technical approach. The Recipient will be responsible for management of the Program and production of intended results. The management plan should demonstrate that the Applicant has an understanding of management barriers that could occur during program implementation, and how the Applicant plans to overcome these barriers. It is also important for the Applicant to consider and describe a mobilization plan for program start-up that demonstrates an ability for rapid start-up by efficiently establishing in-country presence with necessary registration and documentation and ability to be operational within a reasonable timeframe. The Applicant must be able to strongly demonstrate the sustainability of the program activities after the program ended.

The Applicant must describe the role of and contractual arrangement with each sub-partner, the approach for managing proposed sub-partners to maximize their input and utility and quality of services provided.

Additionally, the Applicant must describe how it will coordinate with different organizations who work in the field of disabilities in Danang and with other USAID disability grantees.

4.2 Performance Monitoring, Evaluation and Reporting

Monitoring of results is a key element of USAID programs. USAID seeks data and information to improve performance and effectiveness as well as to inform planning and management decisions. Accurate and timely monitoring will enable the Program to adapt to changing conditions and make mid-course corrections as necessary. Data also must be available to demonstrate program impact with ability to provide attributes to USAID programs.

The Recipient must describe the expected outcomes under each objective in annual work plans, and report on progress according to agreed indicators on a quarterly basis. The Applicant must include in the application specific detailed plans to monitor and document program performance, using both indicators and any relevant organizational capacity assessments. Specific indicators, targets, and performance benchmarks for achievement of each of the objectives will be developed and submitted as part of the overall performance management plan (PMP) for this Program. The final PMP submitted by the Recipient will be subject to approval by the Agreement Officer's Representative (AOR) and will be assessed semi-annually against all required indicators other agreed upon indicators and benchmarks included in the PMP.

Indicators, targets, and assessment/evaluation tools used for each objective must illustrate how the Program will contribute to the four objectives of the program.

The Applicant should clearly document how it will leverage results not only through partnering under this agreement but also through collaborative practices with other cooperating agencies and bilateral agreements. Indicators should have widely shared definitions and allow aggregation of results across the entire program. Furthermore, due to the difficulty in adequately capturing improvement of organizational capacity through quantitative measurements alone, the Applicant must develop or use existing assessment tools in organizational capacity building to assess and track the progress of each sub-grant throughout the funding cycle of this RFA. The Applicant is also encouraged to propose innovative approaches in their M&E plan to assess and track organizational capacity performance of local partners.

When necessary, the Recipient should be prepared to make revisions to indicators, assessment tools and other reporting requirements, all of which will be reviewed jointly with USAID/Vietnam and other relevant USG technical working groups throughout the life of the Program. The Recipient must also be committed to actively sharing Program results with the GVN and other relevant stakeholders.

The Applicant must indicate what systems it has or will establish to gather data and to use program data on an ongoing basis to guide decision-making, strategic planning and improve program effectiveness. To the extent feasible, systems for data collection and analysis should be designed with an emphasis on building local capacity and long-term institutionalization, and be integrated into the existing national reporting system.

4.3 Quarterly and Annual Reporting

Based on the PMP, and as part of USAID's Performance Review and Annual Report process, the Recipient will submit Quarterly and Annual Progress Reports, describing major program results towards achieving expected results, success stories, any problems encountered, and plans for the following quarter and year. Performance Management Progress Reports will consist of both narrative and quantitative sections (indicator tables). Final drafts of the reports will be due by April 30, July 31, October 31 and December 31 of each implementation year, respectively. However, due to USAID's and the State Department's reporting schedules, annual performance management information will often be required earlier than October 31 of each year.

Quarterly Progress Reports: The Recipient must prepare and submit to the USAID/Vietnam AOR quarterly progress reports that summarize progress in relation to agreed-upon targets contained in the Annual Work Plan, and will specify any problems encountered and indicate resolutions or proposed corrective actions; the status of activities and deliverables and the date of their completion/submission to USAID/Vietnam; changes to personnel; a brief summary of quarterly

financial performance to permit the AOR to develop accruals reporting; and other relevant issues. For each action, the Recipient must designate responsible parties and establish a timeframe for completion. The report must list activities proposed for the next three months, noting where they deviate from the approved Annual Work Plan.

The quarterly Report must be combined with the Annual Report and submitted at the same time. There are only three quarterly reports due each year.

Annual Reports: The Recipient must submit an annual report covering activities of the previous USG fiscal year. The Recipient must provide a succinct presentation of Program achievements, objectives, and targets in the previous year, with supporting discussion to explain any shortfalls. The Recipient must summarize progress, provide an analysis of impact based on activities completed or in progress, identify success stories, and suggest resolution of any outstanding issues.

The Annual Reports must provide data for incorporation into USAID's annual reporting, as relevant. In this context, annual reports must include a performance indicator data table presenting the baseline, targets established for each fiscal year, and the actual annual performance data using indicators from the PMP, and illustrate how the results were achieved. This should include the monitoring of and reporting on milestone events that would help demonstrate progress towards achieving the Program's long-term results. Additional information to be addressed in performance reports includes: a comparison of actual accomplishments with the goals and objectives established for the period, reasons why established goals were not met, if appropriate, and other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

Final Report: The Recipient must prepare and submit a Final Program Report to the AOR summarizing overall program achievements within 90 days of program completion. This report must contain a summary and discussion of all activities conducted under the Agreement, the results achieved, complete data from the performance monitoring and evaluation plan, and the impact of the activity. The Recipient must submit the monitoring of and reporting on significant milestone events that would help demonstrate progress towards the description of program success, including the final targets, data sources, collection methods, and baseline information or a timeline for collecting it. This should include narrative descriptions of success at the program end. This report must not exceed 60 pages, although Annexes may be appended.

5. AUTHORIZED GEOGRAPHIC CODE

The source and origin of procurements under this agreement will be subject to the Standard Provisions titled "USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (APRIL 1998)" and "Local Procurement." In addition, a blanket waiver for local procurement has been approved by the USAID Administrator. Application of the waiver is included in the letter from the Agreement Officer as Appendix B to this RFA.

6. INTERNATIONAL NGOS

Below is an alphabetical list of International NGOs that are currently working or have previously worked on disabilities in the Danang area and participated in the Danang disability coordination meeting group. This is not a complete list as there are others working on this issue in the area. This list is meant to be a reference point for applicants to begin research on disabilities.

Associazione Italiana Amici di Raoul Follereau - www.aifo.it/english/gen/statute.htm

Children of Vietnam - www.childrenofvietnam.org/

East Meets West Foundation - www.eastmeetswest.org/

FIDA International - www.fidadevelopment.fi/?id=607

Ford Foundation - www.fordfoundation.org/

Handicap International Belgium - www.handicapinternational.be/en/vietnam

Inclusive Development Action - ideavietnam.org/

Netherlands Leprosy Relief - www.leprastichting.nl/en/

Save The Children - www.savethechildren.net/vietnam/

The Aspen Institute – www.aspeninstitute.org

The Fred Hollows Foundation - www.hollows.org/Vietnam/

United Nations Children’s Fund – www.unicef.org/

Vietnam Assistance to the Handicapped - www.vnah-hev.org/

Vietnam Veterans of America Foundation - ic-vvaf.org/

World Vision - www.worldvision.org/

- End of Section I -

SECTION II: BASIC AWARD INFORMATION

A. RANGE OF EXPECTED FUNDING LEVEL AND PERIOD OF PERFORMANCE OF INDIVIDUAL AWARDS

USAID anticipates that only one award will be made under this solicitation but reserves the right to make multiple awards to U.S. or non-U.S. non-governmental organization (NGO) to implement the Comprehensive and Integrated Support to People with Disabilities program. The total estimated amount of funding available for the program is \$9 million, for a period not to exceed three-years (from on or about July 1, 2012 – June 30, 2015).

USAID reserves the right to fund any, a portion of, or none of the applications submitted.

B. SUBSTANTIAL INVOLVEMENT

USAID/RDMA considers collaboration with the awardees crucial for the successful implementation of this program. Substantial involvement under the proposed award shall include the following (specific substantial involvement will be negotiated as part of the final award(s) in accordance with ADS 303.3.11):

a. Approval of the Recipient's Implementation Plans. USAID will not require approval of implementation plans more often than annually.

b. Approval of Specified Key Personnel. USAID may designate as key personnel only those positions that are essential to the successful implementation of an award. USAID's policy limits this to a reasonable number of positions, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater.

c. Agency and Recipient Collaboration or Joint Participation. When the recipient's successful accomplishment of program objectives would benefit from USAID's technical knowledge, the Agreement Officer (AO) may authorize the collaboration or joint participation of USAID and the recipient on the program. There should be sufficient reason for Agency involvement and the involvement should be specifically tailored to support identified elements in the program description. When these conditions are met, the AO may include appropriate levels of substantial involvement such as the following:

(1) Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

(2) Concurrence on the substantive provisions of sub-awards. 22 CFR 226.25(c)(8) already requires the recipient to obtain the AO's prior approval for the sub-award, transfer, or contracting out of any work under an award. This is generally limited to approving work by a third party under the agreement. If USAID wishes to reserve any further approval rights for sub-awards or contracts, it must clearly spell out such Agency involvement in the substantial involvement provision of the agreement.

(3) Approval of the recipient's monitoring and evaluation plans.

(4) Monitor to authorize specified kinds of direction or redirection because of interrelationships with other programs. All such activities must be included in the program description, negotiated in the budget, and made part of the award.

d. Agency Authority to Immediately Halt a Construction Activity.

C. AUTHORITY TO OBLIGATE THE GOVERNMENT

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either a fully executed Agreement or a specific written authorization from the Agreement Officer.

- End of Section II -

SECTION III: ELIGIBILITY INFORMATION

A. ELIGIBILITY REQUIREMENTS

To be eligible for an award, the applicant must submit their application, in its entirety. For the purposes of this solicitation, NGOs include any incorporated entity, either non-profit or for-profit, other than a governmental organization.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, adhere to international humanitarian principles, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

Pursuant to 22 CFR 226.81, USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization) may be paid under the Agreement.

B. COST SHARING

A cost share is defined by USAID as “contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient’s records.” Cost sharing also refers to that portion of a project or program cost not borne by the USG. Cost share or match is normally associated with contributions from the same prime and sub-recipients sources that also receive USAID funds. Examples of cost share for this program may include the provision of technical assistance, commodities, distribution networks and other sources of support. Cost share must be verifiable from the recipient’s records, is subject to the requirements of 22 CFR 226.23, and is subject to audit. A recipient’s failure to meet its cost share requirement can result in questioned costs.

According to USAID policy, cost sharing is an important element of the USAID-recipient relationship. While cost share is not required as part of this program, applicants are encouraged to contribute cost share to increase overall program impact. Applicants must be aware that all cash contributions and non-Federal third party in-kind contributions must meet all the criteria set forth in 22 CFR 226.23 and the applicable OMB cost principles. Applicant cost share may be in any combination of in-kind support, staff salaries, waiver of overhead, etc. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors (i.e. technical evaluation criteria) considered.

- End of Section III -

SECTION IV: APPLICATION AND SUBMISSION INFORMATION

I. PREPARATION GUIDELINES

a. Applications must be submitted in two separate parts: (a) technical and (b) cost or business application. An original and four (4) hard copies of the technical application and an original and one (1) hard copy of the cost application must be submitted in addition to the electronic submission, as described in the cover letter of this RFA.

b. Hard copies of the applications must be received no later than the date and time indicated on the cover page of this RFA, to the location stated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. USAID may review and consider late or incomplete applications if: (i) USAID's treatment of the material is consistent with the terms of the RFA, (ii) all late applications are treated the same, (iii) they are evaluated before any agreements are awarded under the RFA and (iv) the Agreement Officer consents in writing to the review of late or incomplete applications.

c. Technical applications must be specific, complete, and presented concisely. A lengthy application does not in and of itself constitute a well thought out proposal. Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the Applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted. Applications must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. Applications must take into account the technical evaluation criteria found in Section V of this RFA.

d. Explanations to Prospective Recipients: Any prospective Applicant desiring an explanation or interpretation of this RFA must request it in writing to the email addresses set forth in the RFA cover letter. The questions and answers (Q&A) will be posted as an amendment to the RFA on www.grants.gov. The deadline for receipt of questions is **January 17, 2012, 4:00 PM, local Bangkok time.** Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective grantee concerning this RFA will also be furnished to all other prospective grantees as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective grantees.

e. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes on hard copies must be initialed by the person signing the application. To facilitate the competitive review of the applications, applications must conform to the format prescribed below.

f. [Reserved].

g. Submission of Applications Electronically (Important):

1. Preferred software for electronic submissions: Microsoft Word (for narrative text) or Excel (for tables). PDF files are acceptable. Please be advised that the selected Applicant will be required to submit their budget breakdown in Excel. The Excel sheets must not be password protected.
2. After you have sent your proposals electronically, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or make note in the filename if submitted via grants.gov that it is a "corrected" submission. Each Applicant is responsible for their submissions.
3. Please do not send the same email to us more than one time unless there has been a change, and if so, please note that it is a corrected email.
4. Your organization must appoint one person to send in the email submissions who will serve as the contact person for future communications regarding this RFA.
5. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your cost proposal is being sent in two emails, the first

email should have a subject line which says: "[organization name], Cost Proposal, Part 1 of 2".

USAID's preference is that the technical application and the cost application be submitted as single email attachments, e.g., that you consolidate the various parts of a technical application into a single document before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling submitted electronic applications if no instructions are provided or if instructions are unclear.

h. The hard copies of applications and modifications thereof must be submitted in sealed envelopes or packages addressed to the office specified in the cover letter of this RFA, with the RFA number, the name and address of the Applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages.

i. Telegraphic applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

j. Preparation of Applications:

1. Applicants must review, understand, and comply with all aspects of this RFA. Failure to do so may be considered as being non-responsive and may be evaluated accordingly.
2. Each Applicant must furnish the information required by this RFA. On the hard copies of applications, the Applicant must sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent must be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
3. Applications which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes must:

(a) Mark the title page with the following legend:

"This application includes data that must not be disclosed outside the U.S. Government and must not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of - or in connection with - the submission of this data, the U.S. Government must have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages ____."; and,

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

II. TECHNICAL APPLICATION FORMAT

The technical application will be the most important item of consideration in selection for award of the proposed activity. The application must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals and objectives of this project. Therefore, it should be specific, complete and concise.

The Technical Application narrative section ***must not exceed 25 single-spaced typed pages*** (12 point Times New Roman Font and a minimum of 1 inch margins all around). INFORMATION SUBMITTED OVER 25 PAGES WILL NOT BE EVALUATED. Promotional literature and materials regarding the applicant must not be submitted as part of the annexes. The following items are not subject to the page limitation and will not be counted (a page in the technical proposal, which contains a table, chart, graph, etc., not otherwise excluded below, is subject to the "page" limitation):

- Cover page;
- Table of contents;

- Dividers;
- Table summarizing qualifications, skills and capabilities of proposed personnel (key personnel and notional non-key personnel);
- Appendix attachments which contain biographical information (i.e. resumes and other documentation provided by the Offeror) for proposed candidates;
- Monitoring and Evaluation Plan/Performance Monitoring Plan (PMP)
- Grantee and Subgrantee Past Performance Listing;
- Implementation Plan
- Branding Implementation Plan and Marking Plan;
- Charts providing information on management structure, matrixes demonstrating staff skills, and organizational chart(s);
- Curricula Vitae (CVs), letters of commitment (from COP and from proposed consortia partners), and letters of availability for other key personnel (who must not be required to sign with the Offeror on an exclusive basis), and references.

All other items are included in the above page limitation. Please number pages as “Page of Page” where a page number combined with a letter indicates a page that is excepted from the 25 page limitation. Annexes can be numbered separately and should be numbered as “Annex 1: 1 of X, Annex 1: 2 of X”, et cetera.” Pages should be paginated at the bottom.

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the prescribed format and page limitations. Any other information submitted will not be provided to the evaluation panel and will not be evaluated. Letters of support are not requested and will not be provided to the evaluation panel.

A. THE TECHNICAL APPLICATION

Interested applicants shall provide a detailed technical application and demonstrate how it will achieve the overall goal, program objectives and results as previously described. Applicants must organize the technical application to follow the information set forth below.

There is no preference to use the program title given in this RFA. Applicants are encouraged to develop their own specific program title as part of their offer. However, use of the successful applicant’s proposed title or an alternate title is solely at USAID’s discretion.

The technical application must be keyed to the technical evaluation criteria outlined in Section V, and contain only the requested information. The technical application must be organized and presented in this order for ease of reviewing by the Technical Evaluation Committee.

1. **Executive Summary.** This section will describe the basic elements of the applicant’s approach, methodology and implementation plan.
2. **Program Strategy, Approach and Technical Understanding of Program Description:** The program strategy and technical approach must demonstrate feasibility, innovativeness and cost-effectiveness to achieve the program goals and the specific objectives of the program. This section must include:

1. Technical Approach

The Technical Approach, as revised during negotiations, will become the Program Description of any resulting Cooperative Agreement. It must include a clear description of the conceptual approach and the general strategy (i.e. methodology and techniques) being proposed. It must outline specific, focused activities; identify how and where (e.g. country and level: local or national) those activities will be implemented; explain how the approach is expected to achieve the proposed objectives; and describe a plan that will enable the activities to continue after the program is completed.

The proposed outcomes/results should, as far as possible, be measurable, without undergoing an intensive and expensive evaluation. If it is not possible to measure desired results within the Program period because of funding constraints, such results may be documented through qualitative approaches.

The Applicant must provide a draft annual work plan for the first year, including a detailed Implementation Schedule for achieving expected program results. The Applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an aggressive but realistic schedule of performance milestones as steps toward achieving proposed results. The implementation plan should clearly outline links between the proposed results, conceptual approach, and performance milestones, and must include a realistic timeline for achieving the quarterly, annual, and end-of-program results. Key indicators are provided in Section I.

Sub-grant arrangements are allowable to supplement prime organization's technical skills. Application might enter into partnerships with other non-profit and/or for-profit organizations as sub-grantees. The prime organization will be responsible for the achievement of results and the execution of the program. If the Applicant plans to collaborate with other organizations or indigenous organizations for the implementation of the core component of this award, the services to be provided by each organization must be described. Applicants that intend to utilize sub-grantees must indicate the extent intended, the method of identifying them and the tasks/functions they will be performing. Applicants must state whether or not they have existing relationships with these other organizations and the nature of the relationship (e.g., sub-grantee, subcontractor, partnership, etc.). The Applicant must specify the technical resources and expertise of proposed organizations. Further, the prime organization must also include a capacity-building component for local sub-grantee organizations. Technical plan information for proposed sub-grantees should follow the same format as that submitted by the Applicant. A SIGNED letter of commitment from the proposed partner must be submitted. Letters of commitment need not be exclusive.

2. Staffing/Key Personnel, Management Plan and Performance Monitoring Plan

Management Plan

The Management Plan must describe the technical resources and expertise that the Applicant and its proposed partners will utilize in implementing the proposed program and how these resources will be organized to deliver the desired outcomes and meet USAID's expectations for reporting, coordination, and communications. The Management Plan must provide a brief summary of the history of the respondent's work in disability prevention, rehabilitation and inclusion service and strategic information. The Application also must provide evidence of the organization's expertise and capabilities, and describe its comparative advantage in implementing the proposed activities.

The Management Plan must specify the composition and organizational structure of the program team (including home office support and field office(s), as appropriate) and briefly describe each proposed staff member's role, technical expertise, and estimated amount of time s/he will devote to the Project. The application must also briefly describe the experience, role, and location of any partner organizations or consortium members, the comparative advantage of the team in implementing the proposed activities, and the approach for managing the proposed sub-partners.

The Applicant must include within the application the role of specific local organizations (local NGO, or other appropriate entity) that will implement activities in partnership with the applicant; the purpose of the partnership being capacity building of the local partner(s) to eventually independently implement and sustain activities beyond the life of this specific project.

Staffing

The Applicant must specify the staff required for each component or activity, demonstrate their technical expertise and provide the estimated amount of time that each staff person would devote to the project. The Applicant must specify the composition and organizational context of the entire implementation team (including home office support). The Applicant must propose which positions should be Key Personnel and propose other personnel as part of the technical proposal as deemed appropriate to implement the major tasks described in Section I – Funding Opportunity Description.

In an annex to the technical application, applicants must provide resumes and proposed position descriptions for the candidates proposed for all key personnel. The resumes should demonstrate that the proposed key personnel possess the skills and knowledge to effectively carry out their proposed responsibilities. Resumes must be no more than three (3) pages in length for each proposed individual and must be presented in chronological order starting with most recent experience. Key personnel will be assessed on the appropriateness of their academic background, expertise and years of experience working on project activities similar to their designated duties and responsibilities for this program.

Each resume must be accompanied by a SIGNED letter of commitment from each candidate indicating his/her: (a) availability to serve in the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application. References may be checked for all proposed key personnel, and applicants must provide current phone, fax, and email address for each reference contact.

Chief of Party - The Applicant is required to appoint a Chief of Party (COP). The COP will be responsible for technical leadership and administrative oversight of the program and serve as the principal institutional liaison to USAID. The COP will be responsible for the day-to-day management of the Project and will ensure the Project is progressing appropriately and meeting its targets. The COP must have the following minimum set of qualifications:

- A minimum of 10 years professional experience in international development, with at least five years in a developing country, and five to seven years of management experience
- A Master's degree in management, international development or a related field of study
- Demonstrated capabilities in institutional capacity building, high-level strategic visioning and leadership, and experience in working effectively with civil society, local, regional and central-level government authorities and with USAID or other development partners
- Proven exceptional leadership in the design, management, implementation, monitoring, and evaluation of similar-sized international donor supported programs, with skills in strategic planning, management, supervision, and budgeting, and preferably experience in managing complex activities involving coordination with multiple program partner institutions
- Experience in managing USAID programs is highly desired
- Strong communication skills, including interpersonal, and fluency in written and oral English, to fulfill the diverse technical and managerial requirements of the program and to effectively coordinate with a wide range of regional stakeholders
- While the COP will not need to be an expert in the technical areas of disability, a solid working understanding about disability-related social and health related issues, including understanding of the field of social work and case management and experience in policy development, is desirable
- Proven ability to develop and communicate a common vision among diverse partners and the ability to lead multi-sector (such as public and private sector) and multi-disciplinary teams

Applicants must also demonstrate how they plan to build in-country capacity to provide project leadership, technical guidance and overall management over the life of the project.

3. Performance Management Plan

The Performance Management Plan (PMP) must include annual and end-of-program indicators and targets to measure the progress of the proposed activities and the impact of the program (process indicators and impact indicators). The plan must also describe the monitoring system that will enable it to track these indicators regularly.

Applicants must provide estimated (draft) targets by indicator for the first 12 months of the program (from July 1, 2012 to June 30, 2013). Actual and subsequent year targets will be negotiated with USAID/Vietnam annually during work plan development based on availability of funds and program performance. The list of proposed indicators should align with program level standard indicators; although these are changing and actual monitoring and evaluation (M&E) planning must be developed with USAID/Vietnam through annual work plan development. Applicants may propose other indicators which would be added to the M&E planning which might facilitate enhanced monitoring of proposed activities and complement program indicators.

4. Institutional Capability

The Applicant must describe its organizational knowledge, capability and experience in managing programs to address the needs of people with disabilities as related issues. Applicants must furnish evidence that they have the ability to plan, implement and monitor the program effectively. They must demonstrate their experience in the geographic and program areas identified in the Funding Opportunity Description. They must demonstrate organizational experience in managing relevant programs in terms of the activities specified in Section I – Funding Opportunity Description of this solicitation and the program size. In addition, applicants must clearly describe their demonstrated ability to manage multiple complex activities involving collaborative efforts, and maintain clear and effective lines of communication between and among implementing partners and sub-partners.

The Applicant must provide the same information for all the proposed major sub-contractors and/or sub-grantees.

5. Past Performance

Applicants must include the three (3) most relevant U.S. Government and/or privately funded contracts, grants, cooperative agreements, etc. received by your organization in the last three years involving programs similar to the program proposed in your application. Include the following for each award listed:

- Name of awarding organization or agency
- Address of awarding organization or agency
- Place of performance of services or program
- Award number
- Amount of award
- Term of award (start and end dates of services/program)
- Name, current telephone number, current fax number and e-mail address (if one is available) of a responsible technical representative of that organization or agency
- Brief description of the program

Applicants must also include the two (2) most relevant U.S. Government and/or privately funded contracts, grants, cooperative agreements, etc. received by each major sub-grantee proposed. A major sub-grantee is one whose proposed cost exceeds 20% of the Applicant's total proposed cost. Include the same information as listed above.

USAID may contact references and use the past performance data, along with other information to determine the Applicant's responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

B. Collaborative Partner

USAID/Vietnam plans to award a separate agreement with U.S. Centers for Disease Control and Prevention (U.S. CDC) to provide technical assistance for the public health -related activities (birth defects surveillance, post-natal newborn screening and cancer surveillance). USAID encourages collaboration and coordination between the Recipient and CDC in this effort. The separate agreement will provide funding for U.S. CDC to offer technical expertise to the project to strengthen specific technical aspects of the program, but will not be at the level of programmatic direction.

C. Environmental Assessment & Monitoring:

No activities proposed under this program are expected to have a significant impact on the environment, and all fall under one or more categorical exclusions outlined under 22 CFR §216.2(c)(2). Over the life of the program, most of the program funding will be dedicated to technical assistance. No installation or use of equipment is expected in the activities under this program. However, Applicants must note the following:

1. Section 117 of the Foreign Assistance Act of 1961, as amended, requires that the impact of USAID's activities on

the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204

(<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The applicant's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

2. In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
3. No activity funded under this award will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")
4. As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Representative (AOR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation.
5. If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
6. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

D. Marking Under Assistance Instruments

The apparently successful applicant(s) will be required to submit a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer. A Branding Implementation Strategy and Marking Plan must be in accordance with USAID Branding and Marking Plan as required per ADS 320 at the following link:

<http://www.usaid.gov/policy/ads/300/>. The Recipient must comply with the requirements of the USAID "Graphic Standards Manual" available at www.usaid.gov/branding, or any successor branding policy.

See Appendix A for the full text of the Branding and Marking provisions under Assistance Instruments.

III. COST APPLICATION FORMAT

The Cost or Business Application must be submitted separately from the technical application. Certain documents are required to be submitted by an Applicant in order for the Agreement Officer to make a determination of responsibility. The following sections describe the documentation that Applicants for Assistance awards must submit to USAID prior to award. While there is no page limit for this portion, Applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. Include a budget with an accompanying budget narrative which provides in detail the total proposed costs for implementation of the program your organization is proposing. Detailed budget notes which explain the basis of estimate (cost realism and cost reasonableness) and supporting justification of all proposed budget line items must be included. A summary of the budget must be submitted using Standard Form 424 and 424A which can be downloaded from the grants.gov website at www.grants.gov.

1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices.
2. The breakdown of all costs according to each partner organization (or sub-Recipient) involved in the program.

3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
4. The breakdown of the financial and in-kind contributions of all organizations involved in implementing the expected Cooperative Agreement.
5. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement.
6. The procurement plan for commodities.
7. Indicate the name, annual salary, and expected level of effort of each person charged to the project. Provide resumes showing work experience and annual salary history for at least the three most recent years for major personnel.
8. If not included in an indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employees, and explain the benefits included in the rate.
9. The same individual information for consultants must be provided as for regular personnel.
10. Allowances must be broken down by specific type and by person, and must be in accordance with the Applicant's policies.
11. Travel, per diem and other transportation expenses must be detailed in your proposal to include number of international trips, expected itineraries, number of per diem days and per diem rates.
12. Specify all equipment to be purchased and the expected geographic source.
13. Financial Plans for all proposed sub-grants and subcontracts must have the same format and level of detail as those of the Applicant. Following the Applicant's detailed budget breakdown, detailed budget breakdowns for each sub-Recipients/(sub) contractor must be presented. Sub-Recipient/ (sub) contractor budgets must not be intermingled. The first page must be a summary budget, following the same budget format and line items as are set forth above for the full term of the sub-agreement/subcontract. Detailed budget notes which explain how the subs' proposed budget was reviewed and how a determination was made that it is fair and reasonable must be provided.
14. Other direct costs such as supplies, communication costs, photocopying, visas, passports and other general costs must be separate cost line items.

B. A copy of the latest Negotiated Indirect Cost Rate Agreement (NICRA) if your organization has such an agreement with the US Government;

C. Required certifications and representations (see Appendix D of this RFA).

NOTE: Past Performance References requested in the certifications and representations should be attached to the technical application.

D. USAID endorses cost-sharing as an important principle in USAID-Recipient relationships. Applicants are encouraged to contribute cost share to increase overall program impact. Applicants must be aware that all cash contributions and non-Federal third party in-kind contributions must meet all the criteria set forth in 22 CFR 226.23 and the applicable OMB cost principles. Applicant cost share may be in any combination of in-kind support, staff salaries, waiver of overhead, etc. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors (i.e. technical evaluation criteria) considered.

E. Applicants which do not currently have a NICRA from their cognizant audit agency must also submit the following information:

1. Copies of the Applicant's financial reports for the previous three-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
2. Projected budget, cash flow and organizational chart; and,
3. A copy of the organization's accounting manual.

F. Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of

the award.

2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant, nongovernmental and governmental.
3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
4. Has a satisfactory record of integrity and business ethics; and,
5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

G. Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the Applicant must advise which Federal Office has a copy.

H. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance .

- End of Section IV –

SECTION V: APPLICATION REVIEW INFORMATION / EVALUATION CRITERIA

Applications will be evaluated in accordance with the selection criteria identified below. Subject to the availability of funds, USAID expects to award one cooperative agreement, but reserves the right to make multiple awards. An award will be made to the responsible applicant/partner whose application offers the greatest value, cost, integrated approach, financial viability, innovative solutions, and other factors considered. USAID reserves the right to determine the resulting level of funding for any awards made under this RFA.

The technical application must set forth in detail the conceptual approach, methodology, and techniques for accomplishment of the stated program objectives. The application must define results and benchmarks for monitoring progress in achieving the results.

Interested, eligible organizations are encouraged to propose activities to be completed within a three-year period to address the goal and objectives of the program. A budget of around \$9 million over three (3) years is expected to be sufficient to cover all project activities. USAID reserves the rights to determine the resulting level of funding for the cooperative agreement made under this RFA.

A technical evaluation committee will review applications based upon the criteria set forth below which have been tailored to the requirements of this RFA. Weighted points indicate the relative importance of each technical criterion and sub-criteria, of which 100 points are possible (please note that the sub-criteria are weighted and not listed in any order of importance, further information under each sub-criteria are evaluated as a whole in determining the score of the technical criterion). To facilitate the review of applications, applicant must organize the narrative sections of technical proposals according to the evaluation criteria set forth below. Applicants should note that these criteria serve to (a) identify the significant issues that applicants should address in their applications, and (b) to set standards against which all applications will be evaluated.

After evaluation of initial proposals, USAID expects to select the applicant(s) which will receive the award to implement the program description. Once this choice is made, USAID may engage in discussions or negotiations with the selected applicant(s) regarding any matter to be covered in the final program description. However, USAID may also award without discussions with the selected applicant(s).

TECHNICAL APPROACH (35 POINTS)

The technical approach will be evaluated in terms of overall quality, including innovativeness, flexibility, creativity, and practicality to achieve or exceed the project objectives and the specific expected outcomes within the stated period of performance, and incorporates a multi-disciplinary, multi-sectoral approach and an understanding of international standards for implementing disability programs.

The technical approach will also be evaluated in terms of the extent to which it addresses the following (25 points):

- Demonstrates a comprehensive understanding of key issues and challenges that must be addressed to build an effective disability case management/social work system and a comprehensive referral system in Danang using an approach that is sustainable and replicable to other hotspots; is technically appropriate for the Vietnam context; demonstrates an understanding of key issues and challenges in the delivery of comprehensive services for PWDs in Danang, including the various sectors involved and interventions they support, and coordination between the sectors and case managers for an effective referral system; reflects through its programming the integral role of communication as a development tool to help achieve and illustrate project objectives and impact; and mainstreams disabled persons as full members of society and addresses discrimination issues.
- Can reasonably be expected to lead to a strengthened, more sustainable system for addressing the needs of persons with disabilities, focused on building specific services to include health aspects (prevention and

rehabilitative therapy), inclusive education at all levels, improved rates of employment/livelihood for people with disabilities and opportunities for self-employment, and identifying and decreasing the barriers to social inclusion.

- Demonstrates a firm technical understanding of the steps needed to: develop a population-based birth defect surveillance system that includes intervention for external/observable major structural birth defects for which there are existing interventions for improved health outcomes; evaluate and strengthen the Vietnamese post-natal newborn screening program; develop a population-based cancer surveillance system in the region of Danang; and, expand implementation of the program to other selected areas.
- If the Applicant plans to utilize sub-grantees for the implementation of any of the core components of this award, they must describe tasks/functions they will be performing and what program goals they will accomplish. In addition, the Applicant must indicate the method used to select sub-grantees.

The Applicant's proposed models demonstrate an understanding of health and disabilities situation in Vietnam (10 points):

- Demonstrate the involvement of the host-government, civic organizations, private sector, and PWD in the achievement of the program objectives outlined in Section I 3.1.

Extent to which the proposed activities are in line with the Vietnam Disability Law, the National Framework on Social Work development and the Danang Provincial Plan of action for disabilities.

KEY PERSONNEL (25 POINTS)

The Applicant will propose the number of key personnel; however, the Applicant must not propose more than two key personnel positions. The specific criteria that will be used to evaluate the key personnel include:

- Demonstrated 'hands-on' experience in the implementation of health and disabilities related development programs of a similar scope as proposed in Section I in this RFA (15 points).
- Demonstrated leadership, educational background, and administrative skills in managing a donor-funded program of a similar type and scope. (10 points).

MANAGEMENT PLAN (20 POINTS)

The Applicant's management plan and administrative arrangements should be clearly presented and will be evaluated based on the following criteria.

- How well the Applicant has organized the management of its activities, roles and responsibilities, relationships with concerned stakeholders (USAID, Host Government, civil society, PWDs, etc.) and coordination of its activities within each of the program's components and how comprehensively the Applicant proposes an appropriate organizational structure for the entire program, including long-term and short-term personnel, home office support, sub-offices, and sub-Recipients; and aligns the staffing plan and responsibilities of personnel and sub-Recipients with each program component, including the extent to which the sub-Recipients participate in the management of Program activities; and inclusion of a strategy for increasing management of the program to be transferred to appropriate Vietnamese agencies (10 points).
- Extent to which the Applicant has a reliable and realistic Performance Monitoring Plan (PMP) for monitoring, tracking and reporting performance, including a plan for collecting, evaluating and validating performance and financial data. In addition, it must include proposed annual and end-of-program indicators and targets to measure the progress of the proposed activities and the impact of the program. (5 points).
- Involvement of the host-government, civic organizations, private sector, and PWDs in the achievement of the program objectives outlined in Section I 3.1 (5 points).

INSTITUTIONAL CAPABILITIES (10 POINTS)

Institutional Capabilities will be evaluated based on evidence of past achievement of successful results in the technical subject areas described in this RFA. The Applicant must demonstrate their ability to manage (technically, administratively, and financially) a program of similar type and scope and to deliver results within the specified time frame and budget.

- Demonstrated capability and capacity to plan, implement, adapt, and support complex programs within the range of activities outlined in the application;
- Demonstrated ability to meet USAID reporting and accountability requirements;
- Timeliness of performance, including adherence to schedules, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation;
- Demonstrated ability to form strong partnerships with other organizations.

PAST PERFORMANCE (10 POINTS)

Past performance will be evaluated based on evidence of past achievement of successful results in the technical subject areas described in this RFA, as well as experience working in varying operational environments, in program monitoring and evaluation, timeliness, budgeting, and financial reporting. Each applicant is required to provide past performance references (the three most relevant) for itself and two for each proposed major subgrantee. The past performance evaluation will focus on the applicant's record of conforming to contract/agreement requirements and to standards of good workmanship, record of forecasting and controlling costs, adherence to contract/agreement schedules, including administrative aspects of performance, history of reasonable and cooperative behavior and commitment to customer satisfaction, the business-like concern for the interest of the customer, and the competency of personnel who worked on the agreement.

[Note: The Technical Evaluation Committee may give more weight to past performance information that is considered more relevant and/or more current. In cases where an applicant lacks relevant past performance history or in which information on past performance is not available, the applicant will not be evaluated favorably or unfavorably on past performance. The neutral rating provided to these applicants is at the Agreement Officer's discretion based on the past performance ratings for all other applicants. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an applicant's past performance.]

USAID reserves the right to obtain past performance information from other sources including those not named in this application.

TOTAL: (100 POINTS)

COST EVALUATION CRITERIA

Evaluation points will not be awarded for cost. The cost applications of all applicants submitting technically acceptable applications will be reviewed, but not assigned a score. Costs will be evaluated for general reasonableness, allowability, allocability, cost effectiveness and realism, adequacy of budget detail and financial feasibility. While cost may be a determining factor in the final decision of an awardee(s), the technical merit of applications is substantially more important under this RFA.

Evaluation of the cost proposal will consider but not be limited to the following.

- Cost reasonableness;
- Cost effectiveness and realism;
 - Are the budget estimates realistic for the proposed activities?
 - Do the budget allocations result in optimal use of program funds and ensure that there are sufficient resources to implement the proposed program activities?
- Consistency with the technical proposal;
- Completeness and adequacy of proposed budget information;

- Overall cost control/cost savings evidenced in the proposal (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements); and
- Quality and quantity of the cost share (see Section III of this RFA).

USAID endorses cost-sharing as an important principle in USAID-Recipient relationships. While cost share is not required as part of this program, applicants are encouraged to contribute cost share to increase overall program impact. Applicants must be aware that all cash contributions and non-Federal third party in-kind contributions must meet all the criteria set forth in 22 CFR 226.23 and the applicable OMB cost principles. Applicant cost share may be in any combination of in-kind support, staff salaries, waiver of overhead, etc. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors (i.e. technical evaluation criteria) considered.

- End of Section V –

SECTION VI: AWARD AND AWARD INFORMATION

A. AGREEMENT AWARD

1. The Government anticipates that only one award will be made under this solicitation but reserves the right to make multiple awards resulting from this RFA to the responsible Applicant(s) whose application conforming to this RFA offers the greatest value in terms of the selection criteria (see Section V of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.
2. The Government may award a cooperative agreement(s) on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application must contain the Applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more Applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one Applicant.
3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.
4. An award will be made only by the USAID Regional Agreement Officer upon his/her signature to incur costs. He/she will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

Pre-award Surveys

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may perform a pre-award survey to assess the applicant's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, applicants must prepare, in advance, the required information and documents. Please note that a pre-award survey does not commit USAID to make any award.

B. RELEVANT POLICY AND REGULATORY REFERENCES

Resulting awards to U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 230 for nonprofit organizations (formerly OMB Circular A-122), and OMB Circular A-133 for both universities and non-profit organizations, and Standard Provisions for U.S. Nongovernmental Organizations. These policies and federal regulations are available at the following web sites:

ADS-303: <http://www.usaid.gov/policy/ads/300/303.pdf>

22 CFR 226: http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a21.pdf

22 CFR 230 (formerly OMB Circular A-122)
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a122.pdf

OMB Circular A-133 - Audits of States, Local Governments and Non-Profit Organizations

<http://www.whitehouse.gov/omb/circulars/index.html>

48 CFR 31.2: <http://www.arnet.gov/far/>

Standard Provisions for U.S. Nongovernmental Organizations: <http://www.usaid.gov/pubs/ads/300/303maa.pdf>

Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 220 for universities (formerly OMB Circular A-21), 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for non-U.S. Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>

C. U.S. EXECUTIVE ORDERS AND LAW REGARDING TERRORISM

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all sub-awards issued under this agreement.

D. FOREIGN GOVERNMENT DELEGATION TO INTERNATIONAL CONFERENCES

Funds in the agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" at

<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm> or as approved by the Agreement Officer.

E. REPORTING

All written documentation (correspondence, reports, information sheets, etc.) for submission under this cooperative agreement must be written in English and submitted formally to the USAID/RDMA AOR. USAID/RDMA will provide guidance on reporting standards related to the reporting schedule. Quarterly performance and final reports are required. At a minimum, all documents shall be provided in MS Word (or MS Excel or MS PowerPoint) and PDF (unlocked) formats. All written documentation and distribution shall be done with prior consultation with USAID/RDMA.

F. SALARY SUPPLEMENTS

Any payments by the Recipient to employees at any level of any foreign government must be subject to the USAID policy on salary supplements (dated April 1988 or as amended). If this issue arises during the period of the agreement, the Recipient must consult with USAID on any questions regarding the applicability of the policy.

G. UNSUCCESSFUL APPLICATIONS

Unsuccessful applications will not be returned to the Applicant.

H. NON-FEDERAL AUDITS

In accordance with 22 C.F.R. Part 226.26 Recipients and sub-Recipients are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507) and revised OMB Circular A–133, “Audits of States, Local Governments, and Non-Profit Organizations”. Recipients and sub-Recipients must use an independent, non-Federal auditor or audit organization which meets the general standards specified in generally accepted government auditing standards (GAGAS) to fulfill these requirements.

I. USAID Disability Policy – Assistance (December 2004)

The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other USG agencies, host country counterparts, governments, implementing organizations, and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:
<http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.

USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under any Grant or Cooperative Agreement awarded pursuant to this RFA. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

J. STANDARD PROVISION: EQUAL PROTECTION OF THE LAWS FOR FAITH-BASED AND COMMUNITY ORGANIZATIONS (December 2009)

- a. All the requirements of 22 CFR Part 205, Participation By Religious Organizations In USAID Programs, are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in 22 CFR Part 226. The requirements of 22 CFR Part 205 apply to both religious and secular organizations.
- b. If the recipient makes subawards under this agreement, faith-based organizations must be eligible to participate on the same basis as other organizations, and must not be discriminated for or against on the basis of their religious character or affiliation.
- c. The recipient must not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services directly funded with financial assistance from USAID. If the recipient engages in inherently religious activities, such as worship, religious instruction, and proselytization, it must offer those services at a different time or location from any programs or services directly funded by this award, and participation by beneficiaries in any such inherently religious activities must be voluntary. These restrictions do not apply to programs where USAID funds are provided to chaplains to work with inmates in prisons, detention facilities, or community correction centers, or where USAID funds are provided to religious or other organizations for programs in prisons, detention facilities, or community correction centers, in which such organizations assist chaplains in carrying out their duties.
- d. The recipient must not use USAID funds for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities. Where a structure is used for both eligible and inherently religious activities, USAID funds may not exceed the cost of those portions of the acquisition, construction, or rehabilitation that are attributable to eligible activities in accordance with applicable cost accounting principles. Sanctuaries, chapels, or other rooms that the recipient uses as its principal place of worship are ineligible for acquisition, construction, rehabilitation, or improvements using USAID funds.
- e. The recipient may not discriminate against any beneficiary or potential beneficiary under this award on the basis of religion or religious belief. Accordingly, in providing services supported in whole or in part by this agreement or in its outreach activities related to such services, the recipient may not discriminate against current or prospective program beneficiaries on the basis of religion, a religious belief, a refusal to hold a religious belief, or a refusal to actively participate in a religious practice.
- f. When the recipient is a religious organization, the recipient

- (1) Retains its independence and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not use direct financial assistance from USAID to support any inherently religious activities, such as worship, religious instruction, or proselytization.
 - (2) Retains its authority over its internal governance and may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.
 - (3) Retains its exemption from the Federal prohibition on employment discrimination on the basis of religion, set forth in Sec. 702(a) of the Civil Rights Act of 1964, 42 U.S.C. 2000e-1.
 - (4) May use space in its facilities, without removing religious art, icons, scriptures, or other religious symbols.
- g. The Secretary of State may waive the requirements of this provision in whole or in part, on a case-by-case basis, where the Secretary determines that such waiver is necessary to further the national security or foreign policy interests of the United States.

[END OF PROVISION]

K. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

- (1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
- (2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

- (i) A Governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;
- (iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization; and

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, —Audits of States, Local Governments, and Non-Profit Organizations||).

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

[END OF PROVISION]

L. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier subawards.

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.1. of this award term to www.fsrs.gov.

(ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

(i) the total Federal funding authorized to date under this award is \$25,000 or more;

(ii) in the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

(2) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:

(i) As part of your registration profile at www.ccr.gov.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

(i) in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

(i) To the recipient.

(ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

(1) subawards, and

(2) the total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR part 25:

- (i) A Governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;
- (iii) A domestic or foreign nonprofit organization;
- (iv) A domestic or foreign for-profit organization;
- (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A- 133, —Audits of States, Local Governments, and Non- Profit Organizations||).

(iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

(4) Subrecipient means an entity that:

- (i) Receives a subaward from you (the recipient) under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

(i) Salary and bonus.

(ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

(v) Above-market earnings on deferred compensation which is not tax-qualified.

(vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION]

M. TRAFFICKING IN PERSONS (OCTOBER 2010)

a. Provisions applicable to a recipient that is a private entity.

- (1) You as the recipient, your employees, sub-recipients under this award, and sub-recipients' employees may not—
- (i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
 - (ii) Procure a commercial sex act during the period of time that the award is in effect; or
 - (iii) Use forced labor in the performance of the award or sub-awards under the award.
- (2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a sub-recipient that is a private entity —
- (i) Is determined to have violated a prohibition in paragraph a. (1) of this award term; or
 - (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a. (1) of this award term through conduct that is either—
 - (A) Associated with performance under this award; or
 - (B) Imputed to you or the sub-recipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, __OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

b. Provisions applicable to a recipient other than a private entity.

- (1) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a sub-recipient that is a private entity
- (i) Is determined to have violated an applicable prohibition in paragraph a. (1) of this award term; or
 - (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a. (1) of this award term through conduct that is either—
 - (A) Associated with performance under this award; or
 - (B) Imputed to the sub-recipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, __OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

c. Provisions applicable to any recipient.

- (1) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a. (1) of this award term.
- (2) Our right to terminate unilaterally that is described in paragraph a. (2) or b of this section:
- (i) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
 - (ii) Is in addition to all other remedies for noncompliance that are available to us under this award.

- (3) You must include the requirements of paragraph a. (1) of this award term in any subaward you make to a private entity.

d. Definitions. For purposes of this provision:

- (1) “Employee“ means either:

- (i) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
- (ii) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

(2) “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

(3) “Private entity”:

- (i) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25(b).
- (ii) Includes:
 - (A) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
 - (B) A for-profit organization.

(4) “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

[END OF PROVISION]

N. VOLUNTARY POPULATION PLANNING ACTIVITIES (JUNE 2008)

(a) *Requirements for Voluntary Sterilization Program.* None of the funds made available under this contract shall be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

(b) *Prohibition on Abortion-Related Activities.*

(1) No funds made available under this contract will be used to finance, support, or be attributed to the following activities:

- (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning;
- (ii) special fees or incentives to any person to coerce or motivate them to have abortions;
- (iii) payments to persons to perform abortions or to solicit persons to undergo abortions;
- (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term “motivate”, as it relates to family planning assistance, shall not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) No funds made available under this contract will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

(c) The contractor shall insert this provision in all subcontracts.

[END OF PROVISION]

- End of Section VI -

SECTION VII: AGENCY CONTACTS

The Agency contacts for this RFA are:

1. Patrick Wilson, Contracting Officer, email: pwilson@usaid.gov
2. Paul Seong, Contracting Specialist, email: aseong@usaid.gov
3. Karittha Jenchiewchan, Contracting Specialist, email: kjenchiewchan@usaid.gov

- *End of Section VII* -

ATTACHMENT 1 - CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The Recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
- (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the Recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the Recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the Recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the Recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the Recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the Recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the Recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to

any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For Recipients other than individuals, Alternate I applies.

(4) For Recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The Recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about:

1. The dangers of drug abuse in the workplace;
2. The Recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The Recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The Recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier

Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

The Recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The Recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment 1 hereto. The Recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the Recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the Recipient is a non-U.S. nongovernmental organization.

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The Recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the Recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
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_____	_____	_____	_____
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_____	_____	_____	_____
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_____	_____	_____	_____
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2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the Recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the Recipient's TIN:

TIN: _____

3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the Recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the Recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the Recipient does not have a DUNS number, the Recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the Recipient. The Recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the Recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an Applicant is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the Applicant has an existing Letter of Credit (LOC) with USAID or another US federal agency, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the Recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the Recipient in conducting the program supported by the grant, and not to assistance provided by the Recipient (i.e., a subgrant or subagreement) to a subgrantee or sub-recipient in support of the subgrantee's or sub-recipient's program. Provision by the Recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the Recipient plans to purchase under the grant:

\$ _____

(c) Nonexpendable Property. If the Recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Componentry of Goods. If the Recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	EST. UNIT COST	GOODS COMPONENTS	PROBABLE SOURCE	GOODS COMPONENTS	PROBABLE ORIGIN
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(e) Restricted Goods. If the Recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	PROBABLE ORIGIN	INTENDED USE
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(f) Supplier Nationality. If the Recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER (Non-US Only)	NATIONALITY	RATIONALE for NON-US
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(g) Proposed Disposition. If the Recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the Recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the Recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
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(h) The source and origin of procurements under this agreement will be subject to the Standard Provisions titled “USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (APRIL 1998)” and “Local Procurement”.

6. PAST PERFORMANCE REFERENCES

On a continuation page or as part of your cost proposal, please provide a list of the U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., received during the last three years, and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

The Recipient, by checking the applicable box, represents that -

(a) If the Recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the Recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

PART III - OTHER CERTIFICATIONS

1. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

2. KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

3. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING
[not required to be completed pre-award].

1. I hereby certify that within the last ten years:

- a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
- b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
- c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The Recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment 1 hereto. The Recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the Recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the Recipient is a non-U.S. nongovernmental organization.

4. CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and

entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. §1182).

_____ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

5. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

“The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.”

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

6. SURVEY on ENSURING EQUAL OPPORTUNITY for APPLICANTS

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified Applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of Applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the Applicant have 501(c)(3) status?

☐ Yes ☐ No

2. How many full-time equivalent employees does the Applicant have? (Check only one box).

☐ 3 or Fewer ☐ 15-50
☐ 4-5 ☐ 51-100
☐ 6-12 ☐ over 100

3. What is the size of the Applicant's annual budget? (Check only one box.)

☐ Less than \$150,000
☐ \$150,000 - \$299,999
☐ \$300,000 - \$499,999
☐ \$500,000 - \$999,999
☐ \$1,000,000 - \$4,999,999
☐ \$5,000,000 or more

4. Is the Applicant a faith-based/religious organization?

☐ Yes ☐ No

5. Is the Applicant a non-religious community based organization?

☐ Yes ☐ No

6. Is the Applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes ☐ No

7. Has the Applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes ☐ No

8. Is the Applicant a local affiliate of a national organization?

☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the Applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit Applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the Applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

Appendixes

APPENDIX A: BRANDING AND MARKING

A. BRANDING

Effective January 2, 2006, all USAID-sponsored assistance awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with ADS 320. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. ADS 320 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. USAID will not competitively evaluate the proposed Branding Strategy. ADS 320 may be found at the following website:

<http://iapp1.usaid.gov/notices/LoadAttachmentFileName.cfm?Attachment=3626>

B. MARKING UNDER ASSISTANCE INSTRUMENTS

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient’s internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or subagreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient’s organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses,

conferences, seminars, press conferences and so forth.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient’s, other donor’s, or any other third party’s identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people’s support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government’s identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID funded public communications and program materials for compliance with the approved Marking Plan.

(9) Subrecipients. To ensure that the marking requirements “flow down” to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

“As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, subrecipient’s, other donor’s or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

(11) The recipient will provide the Agreement Officer’s Technical Representative (AOTR) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 45 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) The type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

(iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers “flow down” to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer’s cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer’s waiver determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

Appendix B



LOCAL PROCUREMENT BLANKET WAIVER

The purpose of this letter is to notify you that the USAID Administrator approved a blanket waiver authorizing local procurement from the cooperating country in an amount of up to \$5 million of commodities and services under your award effective as of November 24, 2010.

This waiver authority is provided under the provision in the Mandatory Standard Provision entitled "Local Procurement" of your grant/cooperative agreement for the purchase of goods and services supplied by local businesses, dealers or producers with the following limitations and requirements.

The waiver includes:

- Services of host country nationality;
- Commodities of host country source and origin;
- Commodities of host country source and any origin (Code 935)

This blanket waiver effectively establishes (per USAID award) a single \$5 million threshold for local procurement to replace those individual thresholds currently set forth in 22 CFR 228.40 Local Procurement and ADS Chapter 311. Under the authority of this blanket waiver, you may now purchase

- up to \$5 million of commodities of U.S. origin from local suppliers; OR
- up to \$5 million of commodities of geographic code 935 origin from local suppliers; OR
- up to \$5 million of professional services contracts from local suppliers; OR
- any combination of these commodities and professional services not to exceed \$5 million.

The waiver does not affect the eligibility of construction-related local procurements nor commodities and services which are only available locally as set forth at 22 CFR 228.

This amount is a single aggregate total comprised of all purchases under the prime award, all subawards, and purchases under those subawards. You may choose to allocate portions of the waiver threshold authority to subawardees; however, it is your responsibility as the prime awardee to monitor and document the total local procurement expenditures made under the authority of the blanket waiver to ensure that the cumulative sum of those procurements under the award does not exceed the dollar threshold in the waiver.

If the total amount of purchases of goods and services reaches the \$5 million threshold authorized in the waiver, then the requirements for local procurement revert to 22 CFR 228.40 (and as supplemented in ADS 311) for any additional purchases above the threshold.

Individual or case-by-case waivers which were approved before the effective date of the blanket waiver are not considered part of the \$5 million threshold.

This waiver does not include Restricted Commodities and Eligibility of Commodities under the Commodity Eligibility Listing (CEL). Waiver approval requirements for restricted commodities (as set forth in 22 CFR 228 Source Origin and Nationality Rules and ADS 312) remain in effect; eligibility of commodities as set forth in the CEL are also unchanged (Mandatory Reference to ADS 312).

All other terms and conditions of the award remain unchanged.

- *End of Appendix B* -